

APPLICATION SERIAL NO. 09/821,225

PATENT

APPENDIX B

S/N 09/821335

PATENTIN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christoffersen et al.

Serial No.: 09/821335

Group Art Unit: 2872

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Docket No.: 980.1088US01

Title: STACKED PLANAR INTEGRATED OPTICS AND TOOL FOR
FABRICATING SAME

CERTIFICATE UNDER 37 C.F.R. 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described herein, are being deposited in the United States Postal Service, as first class mail, with sufficient postage, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on September 20, 2001

Jain A. McNelyre

Information Disclosure Statement
Under 37 C.F.R. §1.97(b)

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Applicant(s) respectfully submit(s) the items of information on the enclosed Form 1449 for the attention of the Examiner in the above-identified application.

This statement should be considered because it is filed before the mailing date of the first Office Action on the merits. Accordingly, no fee is due for consideration of the items listed on the enclosed Form 1449.

A copy of each document or other information listed on the enclosed Form 1449 is enclosed in accordance with 37 C.F.R. §1.98(a)(2) and/or a copy of each document is not provided because it was previously cited by or submitted to the

U.S. Patent and Trademark Office in a parent application in accordance with 37 C.F.R. §.1.98(d).

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§102 and 103. In addition, Applicant(s) do(es) not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended, and reserve the right to establish otherwise under 37 C.F.R. §1.131 or others.

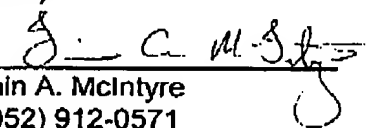
Consideration of the items listed is respectfully requested. According to M.P.E.P. §609, Applicant(s) request(s) that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

Authorization is hereby given to charge any additional fees or credit any overpayments that may be deemed necessary to Deposit Account Number 50-1038.

Respectfully submitted,

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Examiner:	Date Considered:
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INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification ⁶ : C25D 3/12, 3/56, 5/18	A1	(11) International Publication Number: WO 97/00980 (43) International Publication Date: 9 January 1997 (09.01.97)
(21) International Application Number: PCT/DK96/00270 (22) International Filing Date: 20 June 1996 (20.06.96) (30) Priority Data: 0706/95 21 June 1995 (21.06.95) DK (71)(72) Applicants and Inventors: TANG, Peter, Turben [DK/DK]; H.P. Ørumsgade 1, DK-2100 Copenhagen Ø (DK). DYLMER, Henrik [DK/DK]; Dag Hammenskjølds Allé 21, DK-2100 Copenhagen Ø (DK). MØLLER, Per [DK/DK]; Kirkebakkegårdsvej 48, DK-3540 Lyngø (DK). (74) Agent: CHAS.HUDE A/S; H.C. Andersens Boulevard 33, DK-1553 Copenhagen V (DK).	(81) Designated States: AL, AM, AT, AU, AZ, BB, BG, BR, BY, CA, CH, CN, CZ, DE, DK, EE, ES, FI, GB, GR, HU, IL, IS, JP, KE, KG, KP, KR, KZ, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, TJ, TM, TR, TT, UA, UG, US, UZ, VN, ARIPO patent (KE, LS, MW, SD, SZ, UG), Burundian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CP, CG, CI, CM, GA, GN, ML, MR, NE, SN, TD, TG). Published <i>With international search report.</i> <i>In English translation (filed in Danish).</i>	
(54) Title: AN ELECTROPLATING METHOD OF FORMING PLATINGS OF NICKEL, COBALT, NICKEL ALLOYS OR COBALT ALLOYS (57) Abstract <p>An electroplating method of forming platings of nickel, cobalt, nickel alloys or cobalt alloys with reduced stresses in an electrodeposition bath of the type: Watt's bath, chloride bath or a combination thereof, by employing pulse plating with periodic reverse pulses and a sulfonated naphthalene additive. This method makes it possible to deposit nickel, cobalt, nickel or cobalt platings without internal stresses.</p>		

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An electroplating method of forming platings of nickel, cobalt, nickel alloys or cobalt alloys.

Technical Field

The present invention relates to an electroplating method of forming platings of nickel, cobalt, nickel alloys or cobalt alloys in an electrodepositing bath of the type:

5 Watt's bath, chloride bath or a combination thereof by employing pulse plating with a periodic reverse pulse. Current density independence is obtained by means of the invention, whereby low internal stresses are always rendered, wherever the measurement thereof is made on a particular member and whichever current density is used.

Background Art

- 10 The most common electrodepositing baths for nickel electroplating are Watt's baths containing nickel sulfate, nickel chloride and usually boric acid; chloride baths containing nickel chloride and boric acid, and sulfamate baths containing nickel sulfamate, nickel chloride and usually boric acid. The latter baths are used for the more complicated platings and are difficult and comparatively expensive in use.
- 15 Corresponding platings of cobalt may be formed in similar baths containing cobalt sulfate and cobalt chloride instead of the corresponding nickel salts. By adding other metal salts platings of nickel or cobalt alloys are obtained.

It is known to employ a pulsating current, confer for instance W. Kleinokathöfer et al, Metalloberfl. 9 (1982), page 411-420, where pulse plating is used by alternating

20 between equal periods of a direct current with a current density of 1 to 20 A/dm² and non-current periods, the pulse frequency being from 100 to 500 Hz. By employing a pulsating current and as result of the individual current impulses, an increased formation of crystal nucleuses is obtained, thus rendering a more fine-grained and hard plating.

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It is furthermore known to employ pulse plating with periodic reverse pulse, i.e.

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alternating between a cathodic and anodic current. In the cathodic current cycle, the desired plating formation is obtained by metal deposition, while a portion of the deposited nickel is removed by dissolution in the anodic current cycle, any nodules in the plating thus being smoothed. In order to ensure that the result is a build-up
5 and not a dissolution of the plating, it is appreciated that the anodic load is to be less than the cathodic load. This method is e.g. described by Sun et al., Metal Finishing, May, 1979, page 33-38, whereby the highest degree of hardness in the plating is obtained at a ratio between the cathodic and the anodic current density of 1:1 with cathodic cycles T_K of 60 msec. alternating with anodic cycles T_A of 20
10 msec.

US patent No. 2,470,775 (Jernstedt et al.) discloses a process for electroplating nickel, cobalt and alloys thereof in an electrodepositing bath containing chlorides and sulfates of the metals. The plating is effected by means of reversed pulse resulting in an improved appearance (smoothness and maximum brightness) as well
15 as in an expedited deposition. An anodic current density is employed of substantially the same range as the cathodic current density. Various additives are mentioned in the US patent, including naphthalene -1,5-disulfonic acid. These additives are referred to as advantageous components, however no directions are rendered in connection with these additives or elsewhere in the patent as to how the mechanical
20 internal stresses are reduced in the platings resulting from electroplating.

EP patent No. 0.079.642 (Veco Behrer B.V.) relates to pulse plating with nickel in an electrolytic bath of the Watt's bath type comprising butynediol or ethylene cyanohydrin as brightener. The deposition is preferably performed at a pulsating current without anodic cycles, but it is stated that anodic cycles, i.e. reverse pulse,
25 can also be employed with the same result. It is, however, not possible to use long anodic pulses in a pure Watt's bath without passivating the nickel layer, whereby any further deposition is prevented. Moreover, said patent discloses that the frequencies used are in a range from 100 to 10,000 Hz.

30 None of the above mentioned publications relate to internal stresses in platings. US

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patent No. 3,437,568 relates to a method for measuring the internal stresses in electroformed parts, but does not advise how to reduce the internal stresses and does not relate to pulse plating, additives or special nickel baths.

DE published specification No. 2.218.967 discloses a bath for electrodeposition of nickel, to which bath a comparatively large amount of sulfonated naphthalene is added, such as from 0.1 mole/l to saturation so as to reduce the internal stresses in the platings applied by electroplating and with a direct current of e.g. 30 or 60 mA/cm² corresponding to 3 to 6 A/dm². According to the publication, the internal stresses are only reduced from the undesired tensile stress range to the compressive stress range from 0 to 26,000 psi (approx. 179 MPa) by employing this bath.

Usually, the use of said additive only results in a reduction in the stresses in the range from approx. 300 MPa tensile stress to 100 MPa compressive stress and the stress curve is merely moved downward, but is still a function of the current density, which is a normal condition for any type of nickel bath with or without additives.

The use of the large amount of additive is, however, also encumbered with several drawbacks, since the additive is expensive, has detrimental effects on the environment and may cause damage to the bath.

Thus, an electroplating method, wherein the internal stresses are independent of the current density, cannot be deduced from the teachings of DE 2.218.967. When electroplating members of a simple geometric shape, often comparatively modest variations in the current density occur over different areas of the surface of the members. However, this is not possible when dealing with more complicated geometric shapes, wherein the method according to DE 2.218.967 cannot be employed in practise.

Internal mechanical stress is a problem in all nickel and cobalt depositions, even though the process can be controlled satisfactorily in some instances (by means of

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expensive electrolytes (sulfamate bath), temperature control, concentration, etc.) when dealing with simple geometric shapes. The prior art methods are, however, completely inapplicable for the manufacture of tools for injection moulding, micro mechanical components or similar complicated geometric shapes.

- 5 Consequently, it is desirable to provide a method, whereby nickel, cobalt, nickel or cobalt alloys can be deposited with substantially reduced or completely without internal stresses - even in complicated geometric shapes. It is also desirable that this result is obtained whichever current density is used for the deposition.

Disclosure of the invention

- 10 The present invention relates to an electroplating method of forming platings of nickel, cobalt, nickel or cobalt alloys in an electrodepositing bath belonging to the type of a Watt's bath, a chloride bath or a combination thereof by employing pulse plating with periodic reverse pulse, said method being characterised in that the electrodepositing bath contains an additive selected among sulfonated naphthalenes.
- 15 By employing the method according to the invention internal stresses which constitutes a serious problem can be avoided when forming said platings on geometric shapes of a more complicated structure.

Best Mode for Carrying Out the Invention

- Sulfamate baths are more complicated (difficult and more expensive to maintain),
20 but are generally used to reduce the stress in the platings. However, in a sulfamate bath, it is only possible to obtain platings with satisfactorily low internal mechanical stresses in case of simple geometric shapes.

- Although sulfamate baths are also used in more complicated geometric shapes, as these present the hitherto best known solution, often the result is not the optimum
25 due to heavy internal stresses in the plating which e.g. may cause deformation or

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cracks.

Sulfamate baths cannot be used for periodic reverse pulse deposition, sulfur alloyed anodes (2% S) being employed to prevent the sulfamate from decomposing in ammonia and sulfuric acid (ruining the bath). If the current is reversed, the cathode
5 coated with non-sulfur alloyed nickel or cobalt becomes an anode and the sulfamate is destroyed.

When using a Watt's bath, a chloride bath or a combination thereof, it is not possible to obtain platings using a direct current without tensile stresses. In sulfamate baths the stress in the plating - from compressive stress through stress-free to
10 tensile stresses - depends on the cathodic current intensity I_K . Consequently, on simple geometric shapes stress-free platings can be obtained by means of a sulfamate bath at a specific I_K which depends on the temperature and may e.g. be of approximately 10 A/dm², but on more complicated geometric shapes this current intensity I_K is not distributed evenly on the entire surface of the member and causes internal
15 stresses.

The use of the combination according to the invention has surprisingly shown that the internal stresses are very small and independent of the cathodic current intensity I_K and thus of the current distribution on the surface. As a result, low internal stresses are obtained wherever on the member the internal stress is measured and
20 independent of the actual local current densities.

In this manner, the invention renders it possible to manufacture complicated geometric shapes completely without or with considerably reduced internal stresses in the plating.

As additive in the method according to the invention, sulfonated naphthalene is used,
25 i.e. naphthalene sulfonated with from 1 to 8 sulfonic acid groups (-SO₃H), preferably with 2 to 5 sulfonic acid groups, most preferred 2-4 sulfonic acid groups.

In practice, a sulfonated naphthalene product usually comprises a mixture of

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sulfonated naphthalenes with various degrees of sulfonation, i.e. the number of sulfonic acid groups per naphthalene residue. Moreover, several isomeric compounds may be present for each degree of sulfonation.

Typically, the used sulfonated naphthalene sulfonide has a degree of sulfonation on
5 average corresponding to from 2 to 4.5 sulfonic acid groups per molecule, e.g. 2.5- to 3.5 sulfonic acid groups per molecule.

In the presently preferred embodiment of the invention, a mixture of sulfonated naphthalenes is used as sulfonated naphthalene additive, said mixture according to analysis containing approximately 90% of naphthalene trisulfonic acid, preferably
10 comprising naphthalene-1,3,6-trisulfonic acid and naphthalene-1,3,7-trisulfonic acid.

The naphthalene residue in the sulfonated naphthalene additive is usually free of other substituents than sulfonic acid groups. Any other substituents may, however, be present provided that they are not detrimental to the beneficial effect of the sulfonated naphthalene additive on minimizing the internal stresses in the plating formed
15 by employing pulse plating.

In a particular preferred embodiment according to the invention, the sulfonated naphthalene additive is used in the electroplating bath in the amount of 0.1 to 10 g/l, more preferred in an amount of 0.2 to 7.0 g/l and most preferred in an amount of 1.0 to 4.0 g/l, e.g. around 3.1 g/l.

20 Moreover, according to the invention the bath composition preferably contains 10-500 g/l of NiCl_2 , 0-500 g/l of NiSO_4 and 10-100 g/l of H_3BO_3 , more preferable 100-400 g/l of NiCl_2 , 0-300 g/l of NiSO_4 and 30-50 g/l of H_3BO_3 and preferable 200-350 g/l of NiCl_2 , 25-175 g/l of NiSO_4 and 35-45 g/l of H_3BO_3 , for instance about 300 g/l of NiCl_2 , 50 g/l of NiSO_4 and 40 g/l of H_3BO_3 .

25 It has proved advantageous that the anodic current density I_A is at least 1.5 times the cathodic current density I_K , more preferable when I_A ranges from 1.5 to 5.0

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times the I_K and most preferable when I_A is 2 to 3 times the I_K .

In a preferred embodiment, the method according to the invention may be characterised in that the pulsating current is made up of cathodic cycles, each of a duration T_K of from 2.5 to 2000 msec. and at a cathodic current density I_K of 0.1 to 16 A/dm² alternating with anodic cycles, each of a duration of from 0.5 to 80 msec. and at an anodic current density I_A of 0.15 to 80 A/dm². A more preferable embodiment according to the invention is obtained when among the pulse parameters the I_K ranges from 2 to 8 A/dm², the T_K ranges from 30 to 200 msec., the I_A ranges from 4 to 24 A/dm² and T_A ranges from 10 to 40 msec.. A particular preferred embodiment is obtained when I_K is from 3 to 6 A/dm², T_K is from 50 to 150 msec., I_A is from 7 to 17 A/dm² and T_A is from 15 to 30 msec., e.g. when I_K is 4 A/dm², T_K is 100 msec., I_A is 10 A/dm² and T_A is 20 msec..

Examples

Example 1

- 15 A nickel bath containing 300 g/l of $\text{NiCl}_2 \cdot 6\text{H}_2\text{O}$ and 50 g/l of $\text{NiSO}_4 \cdot 6\text{H}_2\text{O}$ was admixed, and to which bath 40 g/l of H_3BO_3 and 3.1 g/l of sulfonated naphthalene additive of technical grade comprising 90% naphthalene-1,3,6/7-trisulfonic acid were added.

Nickel was deposited on a steel strip fixed in a dilatometer so that the internal stresses in the deposited nickel can be measured as a contraction or a dilation of the steel strip. The temperature of the bath was 50°C. When nickel was deposited from said bath at a pulsating current having the cathodic pulse of 100 msec. and 3.5 A/dm² followed by an anodic pulse of 20 msec. and 8.75 A/dm², the internal stresses were measured to be 0 MPa or less than the degree of accuracy of the apparatus of approximately ± 10 MPa.

Example 2

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Following the method according to Example 1 with the exception that only 1.1 g/l of the same sulfonated naphthalene additive was used, the same result was obtained as in Example 1, i.e. that the internal stresses were to measure to 0 MPa or less than the degree of accuracy of the apparatus of approximately ± 10 MPa.

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Example 3

Following the method according to Example 2 with the exception that the anodic current density I_A and the cathodic current density I_K was set at 1.25 A/dm² and 0.5 A/dm² respectively, the same result as in Example 1 was obtained, i.e. that the internal stresses were measured to 0 MPa or less than the degree of accuracy of the apparatus of approximately ± 10 MPa.

Example 4

Following the method according to Example 3 with the exception that the anodic current density I_A and the cathodic current density I_K was set at 18.75 A/dm² and 7.5 A/dm² respectively, the same result as in Example 1 was obtained, i.e. that the internal stresses were measured to 0 MPa or less than the degree of accuracy of the apparatus of approximately ± 10 MPa.

Example 5

Using the method according to Example 1, in which the nickel bath containing 300 g/l of NiCl₂·6H₂O and 50 g/l of NiSO₄·6H₂O is substituted by 300 g/l of CoCl₂·6H₂O and 50 g/l of CoSO₄·6H₂O and the same amount of H₃BO₃ and sulfonated naphthalene additive, similar cobalt platings can be produced which are expected to have the similar low internal stresses.

Example 6

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Following the method according to Example 5 with the exception that 1.1 g/l of sulfonated naphthalene additive was used, similar stress-free cobalt platings may be expected.

Example 7

- 5 Following the method according to Example 6 with the exception that the anodic current density I_A and the cathodic current density I_K was set at 1.25 A/dm² and 0.5 A/dm² respectively, similar stress-free cobalt platings can be expected.

Example 8

- Following the method according to Example 7 with the exception that the anodic
10 current density I_A and the cathodic current density I_K was set at 18.75 A/dm² and 7.5 A/dm² respectively, similar stress-free cobalt platings are expected.

Comparison Examples

Comparison Example 1

- Employing the same set-up and materials as in Example 1, but at a direct current
15 of 4 A/dm², the internal stresses for comparison with said Example were measured to 377 MPa.

Comparison Example 2

Employing the same set-up and materials as in Example 2, but using a direct current of 7.5 A/dm², the internal stresses were measured to 490 MPa.

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Comparison Example 3

Employing the same set-up and materials as in Example 2, but instead using a

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pulsating current without reverse pulse ($I_K = 3.5 \text{ A/dm}^2$, $T_K = 100 \text{ msec.}$, $I_A = 0 \text{ A/dm}^2$, $T_A = 20 \text{ msec.}$), the internal stresses were measured to 410 MPa.

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Claims

1. An electroplating method of forming platings of nickel, cobalt, nickel alloys or cobalt alloys in an electrodepositing bath belonging to the type of Watt's bath, chloride bath or a combination thereof by employing pulse plating with periodic
5 reverse pulse, c h a r a c t e r i s e d in that the electrodepositing bath contains sulfonated naphthalene as an additive and that an anodic current density I_A at least 1.5 times the cathodic current density I_K is used at the pulse plating.
2. Method according to claim 1, c h a r a c t e r i s e d in the use of a sulfonated naphthalene additive in form of sulfonated naphthalene having an average degree of
10 sulfonation of 1 to 6 sulfonic acid groups per naphthalene residue.
3. Method according to claim 2, c h a r a c t e r i s e d in that the sulfonated naphthalene additive has an average degree of sulfonation of 2 to 5 sulfonic acid groups per naphthalene residue.
4. Method according to claim 1 for the formation of nickel platings, c h a r a c t -
15 e r i s e d in that the bath composition comprises 10 to 500 g/l of NiCl_2 , 0 to 500 g/l of NiSO_4 and 10 to 100 g/l of H_3BO_3 , preferably 100 to 400 g/l of NiCl_2 , 0 to 300 g/l of NiSO_4 and 30-50 g/l of H_3BO_3 , particularly preferable 200 to 350 g/l of NiCl_2 , 25 to 175 g/l of NiSO_4 and 35 to 45 g/l of H_3BO_3 .
5. Method according to claim 1, c h a r a c t e r i s e d in that the anodic current
20 density I_A is from 1.5 to 5.0 times the I_K , preferably 2 to 3 times the I_K .
6. Method according to claim 1, c h a r a c t e r i s e d in that the pulsating current is made up of cathodic cycles, each of a duration T_K of from 2.5 to 2000 msec. at a pulsating or uniform cathodic current density I_K of 0.1-16 A/dm² alternating with anodic cycles, each of a duration T_A of from 0.5 to 80 msec. at an anodic
25 current density I_A of 0.15-80 A/dm².

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7. Method according to claim 6, characterised in that the pulsating current is made up of cathodic cycles, each of a duration T_K of from 30 to 200 msec. at a cathodic current density I_K of 2-8 A/dm² alternating with anodic cycles, each of a duration T_A of from 10 to 40 msec. at an anodic current density I_A of 5 to 20 A/dm².
8. Pulsating current according to claim 7, characterised in that the pulse parameters I_K , T_K , I_A , T_A is 4 A/dm², 100 msec., 10 A/dm² and 20 msec., respectively.
9. Method according to claim 1, characterised in that the additive is used in the amount of 0.1 to 10 g/l, preferably 0.2 to 7.0 g/l and particularly 1 to 4 g/l.

INTERNATIONAL SEARCH REPORT

International application No.
PCT/DK 96/00270

A. CLASSIFICATION OF SUBJECT MATTER

IPC6: C25D 3/12, C25D 3/56, C25D 5/18
According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC6: C25D

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched
SE,DK,FI,NO classes as above

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

WPI, CA

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US 2470775 A (G.W. JERNSTEDT ET AL.), 24 May 1949 (24.05.49), column 2, line 26 - column 3, line 41; column 4, line 40 - line 73; column 5, line 15 - line 21, column 6, line 51 - column 10, line 15, figure 2	1-10
A	DE 2218967 A1 (UNITED STATES ATOMIC ENERGY COMMISSION), 9 November 1972 (09.11.72), page 2, line 8 - page 3, line 2	1-3,9
A	DE 2020840 A1 (LONDON & SCANDINAVIAN METALLURGICAL COMP. LTD.), 4 February 1971 (04.02.71), claims 1, 11,12	3

☒ Further documents are listed in the continuation of Box C. ☒ See patent family annex.

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Date of the actual completion of the international search

2 October 1996

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Form PCT/ISA/210 (second sheet) (July 1992)

INTERNATIONAL SEARCH REPORT

International application No.
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C (Continuation). DOCUMENTS CONSIDERED TO BE RELEVANT		
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	WD 9412695 A1 (QUEEN'S UNIVERSITY AT KINGSTON), 9 June 1994 (09.06.94), page 6, line 1 - line 22, claims 3,4,7,27, abstract -----	1-9

Form PCT/ISA/210 (continuation of second sheet) (July 1992)

INTERNATIONAL SEARCH REPORT
 Information on patent family members

05/09/96

 International application No.
PCT/DK 96/00270

Patent documents cited in search report	Publication date	Patent family member(s)	Publication date
US-A- 2470775	24/05/49	CH-A- 274247	00/00/00
		DE-C- 809002	00/00/00
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